

Office Work Instruction (OWI)

HOWI7410-S015A
05/10/1999

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Administration and Resources Management Division (Code SP)

Subject: Budget Justification

DOCUMENT HISTORY LOG

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/01/1999	This is the initial "baseline" version of the OWI.
Revision	A	05/10/1999	This revision incorporates modifications responsive to NCRs #279, #282, #293, #296, #302, #311, #312, #315, #316, #317, and #321 from the NASA HQ ISO-9001 Pre-Assessment audit.

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1. PURPOSE The purpose of this Office Work Instruction (OWI) is to define the process for justifying the Office of Space Science (OSS) budget.

2. SCOPE AND APPLICABILITY

2.1 The three major phases to the budget process are: (a) formulation (also known as development); (b) justification (also known as advocacy); and (c) execution (also known as implementation). One of the most important characteristics of the budget process is that at any given time, some aspect of all three phases of the budget process is occurring. In a given year, OSS formulates the budget for the fiscal year that is two years away, justifies the budget for the upcoming year, and executes the budget for the current year.

2.2 The budget-justification process is viewed as having two major elements: (a) internal advocacy; and (b) external advocacy. Internal advocacy encompasses those activities that occur between the OSS submittal to the NASA Headquarters Office of the Chief Financial Officer (Code B) and NASA's submittal to the Office of Management and Budget (OMB). External advocacy encompasses a broad range of activities that are completed when the Congress authorizes a budget.

2.3 The scope of this OWI is confined to the description of the OSS budget-justification activities.

3. DEFINITIONS

3.1 A&RM. The Administration and Resources Management Division of the Office of Space Science.

3.2 CIC. The Capital Investment Council that is a review panel consisting of the OSS Associate Administrator and other senior managers.

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3.3 Code B. The NASA Headquarters Office of the Chief Financial Officer (CFO).

3.4 SMC. The Senior Management Council that comprises the CIC plus the NASA Center Directors.

4. REFERENCES

- | | | |
|------|--------------------------|---|
| 4.1 | ANSI/ISO/ASQC Q9001-1994 | American National Standard, Quality Systems --
Model for Quality Assurance in Design,
Development, Production, Installation, and
Servicing |
| 4.2 | HCP1280-2 | Corrective and Preventive Action |
| 4.3 | HCP1280-3 | Internal Quality Audits |
| 4.4 | HCP1400-1 | Document and Data Control |
| 4.5 | HCP3410-4 | Employee Training |
| 4.6 | HQPC1150.1 | NASA Headquarters Quality Council Policy
Charter |
| 4.7 | HQSM1200-1 | NASA Headquarters Quality System Manual |
| 4.8 | NHB 1101.3 | NASA Organization Handbook |
| 4.9 | NPD 1000.1 | NASA Strategic Plan |
| 4.10 | NPD 8730.3 | NASA Quality Management System Policy (ISO
9000) |

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4.11	NPG 1000.2	NASA Strategic Management Handbook
4.12	NPG 1441.1	NASA Records Retention Schedules (NRRS)
4.13		NASA Budget Administration Manual

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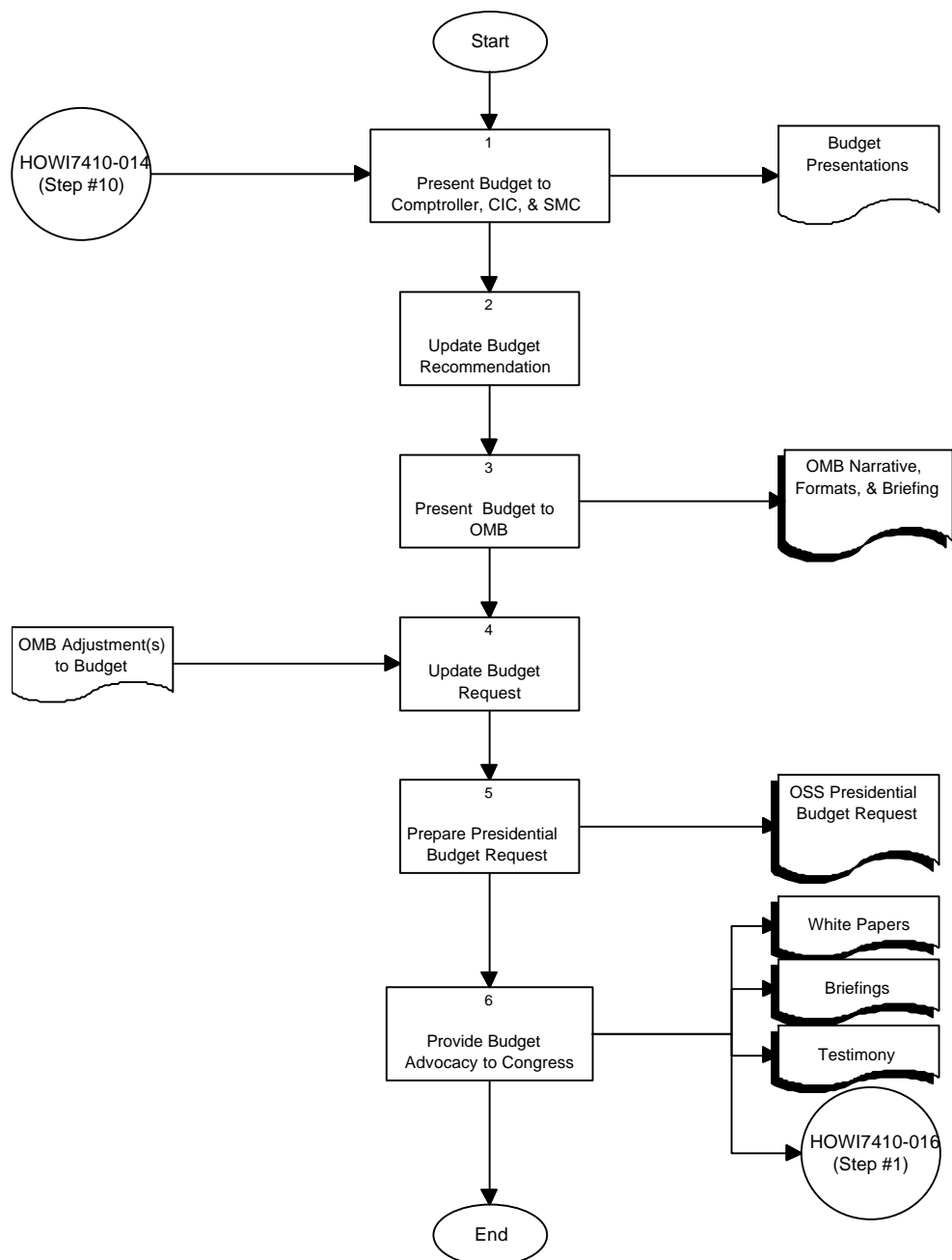
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5. FLOWCHART

[NOTE: "Quality record" output products are identified via shadowing of the standard ANSI document symbol.]



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6. PROCEDURE

[NOTE: The following sequence of process steps is numbered in accordance with the number assigned to each corresponding function block in the flowchart in Section 5.]

<u>STEP #</u>	<u>AGENTS</u>	<u>DESCRIPTION</u>
1	OSS AA, A&RM	Present the budget to the CIC and the SMC. Prepare a series of presentations that includes: (a) a summary of program accomplishments and status; (b) changes to the previous budget baseline, program and project schedules, and content; and (c) major issues. The OSS AA gives the presentations to the CIC and the SMC. The A&RM Division prepares the presentations, with support from the OSS technical divisions. <i>[The output from Step #10 of HOWI7410-014 serves as an input to this activity.]</i>
2	OSS AA, A&RM	Update the budget recommendation. This is an iterative process involving meetings with the NASA Administrator, the NASA Comptroller (in Code B), and the OSS AA. These final budget decisions form the basis for NASA's budget submittal.
3	OSS AA, A&RM	Present the budget to the OMB. The OSS AA provides OMB presentations in the form of budget narratives, briefings, and follow-up responses. These presentations focus on the past year's accomplishments, current status, performance measures, and future plans. They are prepared by the A&RM Division, with support from the OSS technical divisions.
4	OSS AA, A&RM	Update the budget request in an iterative manner in response to budget marks provided by the OMB. This forms the basis of the Presidential budget request to Congress.
5	A&RM	Prepare the Presidential budget request. A&RM coordinates preparation of the draft narrative for the OSS section of NASA's budget. Prepare a comprehensive back-up book to provide supporting information on budget changes, program and project schedules, staffing, etc.

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- 6 A&RM Provide the following types of budget advocacy to the Congress: (a) white papers; (b) briefings; (c) testimony; and (d) responses to Congressional questions. All of these activities provide the Congress with a more extended discussion of program accomplishments, status, and future planned activities. The requirements for these products may vary from year to year, depending upon the specifics of the Congressional review process. *[The results of this activity serve as an input to Step #1 of HOWI7410-016 "Budget Implementation – Operating Plan".]*

7. QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
OMB Budget Narrative, Formats, and Briefing	A&RM Integration Analyst	Code SP Division files	Hardcopy	Schedule 7, Item 21F	Destroy 1 year after the close of the fiscal year covered by the budget.
OSS Presidential Budget Request	A&RM Integration Analyst	Code SP Division files	Hardcopy	Schedule 7, Item 21F	Destroy 1 year after the close of the fiscal year covered by the budget.
White Papers	Congressional Policy Analyst	Code SP Division files	Hardcopy	Schedule 1, Item 15	* Permanent * Retire to FRC when 5 years old. Transfer to NARA when 20 years old.
Briefings	Congressional Policy Analyst	Code SP Division files	Hardcopy	Schedule 1, Item 15	* Permanent * Retire to FRC when 5 years old. Transfer to NARA when 20 years old.
Testimony	Congressional Policy Analyst	Code SP Division files	Hardcopy	Schedule 1, Item 15	* Permanent * Retire to FRC when 5 years old. Transfer to NARA when 20 years old.

[NOTE #1: These "quality record" output products are identified in Section 5 ("Flowchart") of this OWI via shadowing of the standard ANSI document symbol.]

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[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]